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| APPLICATION NO.   | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|---|-------------|----------------------|---------------------|------------------|
| 09/987,418  | 11/14/2001  | Ryu Inada            | 111121              | 7037             |
| 25944   | 7590        | 06/18/2004           | EXAMINER            |                  |
| OLIFF & BERRIDGE, PLC<br>P.O. BOX 19928<br>ALEXANDRIA, VA 22320 |             |                      | VU, THONG H         |                  |
|   |             |                      | ART UNIT            | PAPER NUMBER     |
|   |             |                      | 2142                |                  |

DATE MAILED: 06/18/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

|                              |                        |                     |  |
|------------------------------|------------------------|---------------------|--|
| <b>Office Action Summary</b> | <b>Application No.</b> | <b>Applicant(s)</b> |  |
|                              | 09/987,418             | INADA ET AL.        |  |
|                              | <b>Examiner</b>        | <b>Art Unit</b>     |  |
|                              | Thong H Vu             | 2142                |  |

**-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --**  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) ☒ Responsive to communication(s) filed on 14 November 2001.
- 2a) ☐ This action is **FINAL**.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) ☒ Claim(s) 1-19 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-19 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on 14 November 2001 is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)             | 4) <input type="checkbox"/> Interview Summary (PTO-413)                     |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)    | Paper No(s)/Mail Date. _____  |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date _____   | 6) <input type="checkbox"/> Other: _____                                    |

1. Claims 1-19 are pending.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claims 1-4,8-19 are rejected under 35 U.S.C. § 102(e) as being anticipated by Davis et al [Davis 6,088,805]

3. As per claim 4, Davis discloses an apparatus for processing a subject name included in a personal certificate, comprising:

a part that receives a personal certificate [Davis, user identity, user certification, col 6 lines 9-46];

a part that extracts a predetermined element in a hierarchy of a subject name included in the received personal certificate [Davis, filtering the selected data, col 9 lines 40-56]; and

a part that determines an access right based on a value of the predetermined element [Davis, access rights granted based upon the issuing CA, col 7 lines 45-53; predefined filter rules, col 8 lines 54-63].

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4. As per claim 1, Davis discloses an apparatus (or web server) for processing a subject name included in a personal certificate [Davis, Web server, col 4 lines 29-64], comprising:

a part that receives a personal certificate (i.e.: personal ID) [Davis, user identity, user certification, col 6 lines 9-46];

a part that verifies the received personal certificate based on a digital signature technique [Davis, verify the digital signature of the holder, col 5 lines 42-55];

a part that extracts at least one of predetermined elements in a hierarchy of a subject name included in the received personal certificate [Davis, filtering the selected data, col 9 lines 40-56]; and

a part that determines an access right of holder of the personal certificate based on a value of the at least one predetermined element (i.e.: predefined filter rules) when the personal certificate is successfully verified [Davis, access rights granted based upon the issuing CA, col 7 lines 45-53; predefined filter rules, col 8 lines 54-63] .

5. As per claim 2, Davis discloses the at least one of the predetermined elements is an organizational unit name of a predetermined hierarchy of the subject name [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

6. As per claim 3, Davis discloses the predetermined elements are an organizational unit name of one hierarchy allocated for representing a project name and

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a part of a common name allocated for representing a purpose of operation [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

7. Claims 15,17 contain the similar limitations set forth of apparatus claim 1.

Therefore, claims 15,17 are rejected for the similar rationale set forth in claim 1.

8. As per claim 8, Davis discloses an apparatus for processing a subject name included in a personal certificate, which receives a personal certificate in which a predetermined element of a subject name represents an organization to which a holder of the certificate belongs and an attribute other than a personal ID so as to process the subject name, the apparatus comprising:

a part that receives the personal certificate [Davis, user identity, user certification, col 6 lines 9-46];

a part that extracts a predetermined element in a hierarchy of a subject name included in the received personal certificate [Davis, filtering the selected data, col 9 lines 40-56]; and

a part that determines an access right at least based on an organization to which a holder belongs and an attribute other than a personal ID represented by a value of the predetermined element [Davis, access rights granted based upon the issuing CA, col 7 lines 45-53; predefined filter rules, col 8 lines 54-63].

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9. As per claim 9, Davis discloses the organizational unit name of a predetermined hierarchy of the subject name represents that the holder of the certificate is not a member of an organization represented by the organization name and that the holder cooperates with the organization [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

10. As per claim 10, Davis discloses the organizational unit name of a predetermined hierarchy of the subject name represents a project name in which the holder takes part.

11. As per claim 11, Davis discloses the organizational unit name of a predetermined hierarchy of the subject name represents a cooperating organization name which cooperates with an organization represented by the organization name and to which the holder belongs [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

12. As per claim 12, Davis discloses the organizational unit name of a predetermined hierarchy of the subject name represents a type of operation in which the holder takes part.

13. As per claim 13, Davis discloses a common name in the subject name represents a type of operation in which the holder takes part [Davis, digital signature of the holder, col 5 lines 42-55].

14. Claims 16,18 contain the similar limitations set forth of apparatus claim 8.  
Therefore, claims 16,18 are rejected for the similar rationale set forth in claim 8.

15. As per claim 19, Davis discloses a personal certificate in which at least one of an organizational unit name and a common name of a subject name represents an organization to which a holder belongs and an attribute other than a personal ID are stored [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

16. Claims 5-7 are rejected under 35 U.S.C. § 103 as being unpatentable over Davis et al [Davis 6,088,805] in view of Dustan et al [Dustan 5,884,312].

17. As per claim 5, Davis discloses a web server computer system comprising:

a part that receives a personal certificate [Davis, user identity, user certification, col 6 lines 9-46];

a part that verifies the received personal certificate based on a digital signature technique [Davis, verify the digital signature, col 5 lines 42-55];



a part that extracts at least one of predetermined elements in a hierarchy of a subject name included in the received personal certificate [Davis, filtering the selected data, col 9 lines 40-56];

a part that determines an access right of a holder of the personal certificate based on a value of the at least one predetermined element when the received personal certificate is successfully verified [Davis, access rights granted based upon the issuing CA, col 7 lines 45-53; predefined filter rules, col 8 lines 54-63]; and

However Davis does not details

a part that allocates a session identifier when the received personal certificate is successfully verified;

a part that stores the determined access right associated with the session identifier.

It was well-known in the art that a session identifier used to compared to a user access right to determine a personal access [Dustan, the session ID and rights to execute the function, col 18 lines 54-65][see Lin, Sampson references]

Therefore, it would have been obvious to one having ordinary skill in the art at the time the invention was made to incorporate technique of determine the access right associated with the session identifier as taught by Dustan into the Davis's apparatus in order to utilize the user identification or digital signature. Doing so would provide a security process for user access to Internet.

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18. As per claim 6, Davis-Dustan disclose the at least one of the predetermined elements is an organizational unit name of a predetermined hierarchy of the subject name [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

19. As per claim 7, Davis-Dustan disclose the predetermined elements are an organizational unit name of one hierarchy allocated for representing a project name and a part of a common name allocated for representing a purpose of operation [Davis, organization name, sub-fields, col 7 lines 12-30; col 9 lines 1-10].

20. Any inquiry concerning this communication or earlier communications from the examiner should be directed to examiner Thong Vu, whose telephone number is (703)-305-4643. The examiner can normally be reached on Monday-Thursday from 8:00AM- 4:30PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, *Jack Harvey*, can be reached at (703) 305-9705.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-9700.

Any response to this action should be mailed to: Commissioner of Patent and Trademarks, Washington, D.C. 20231 or faxed to :

After Final (703) 746-7238

Official: (703) 746-7239

Non-Official (703) 746-7240

Hand-delivered responses should be brought to Crystal Park 11,2121 Crystal Drive, Arlington. VA., Sixth Floor (Receptionist).

**Thong Vu**  
**Patent Examiner**  
**Art Unit 2142**

